SMART Objectives Workshop

Getting Started

- Welcome to the SMART Objectives Workshop
- No formal break scheduled
- Ask questions
- Participate in class discussions
- Maintain confidentiality
- Turn off pagers, beepers, cell phones

Agenda

- **Workshop Introduction**
- Overview of Performance Management
- Job Objectives
- Develop Job Objectives for an Employee - Activity
- Collaborative Review of Job Objectives - Activity
- Role of the Supervisor

Delivery Strategies

Topic	Approach
Workshop Introduction	Presentation and Discussion
Overview of Performance Management	Presentation
Job Objectives	Presentation
Develop Job Objectives for an Employee - Activity	Activity
Collaborative Review of Job Objectives - Activity	Role Play Exercise
Role of the Supervisor	Presentation

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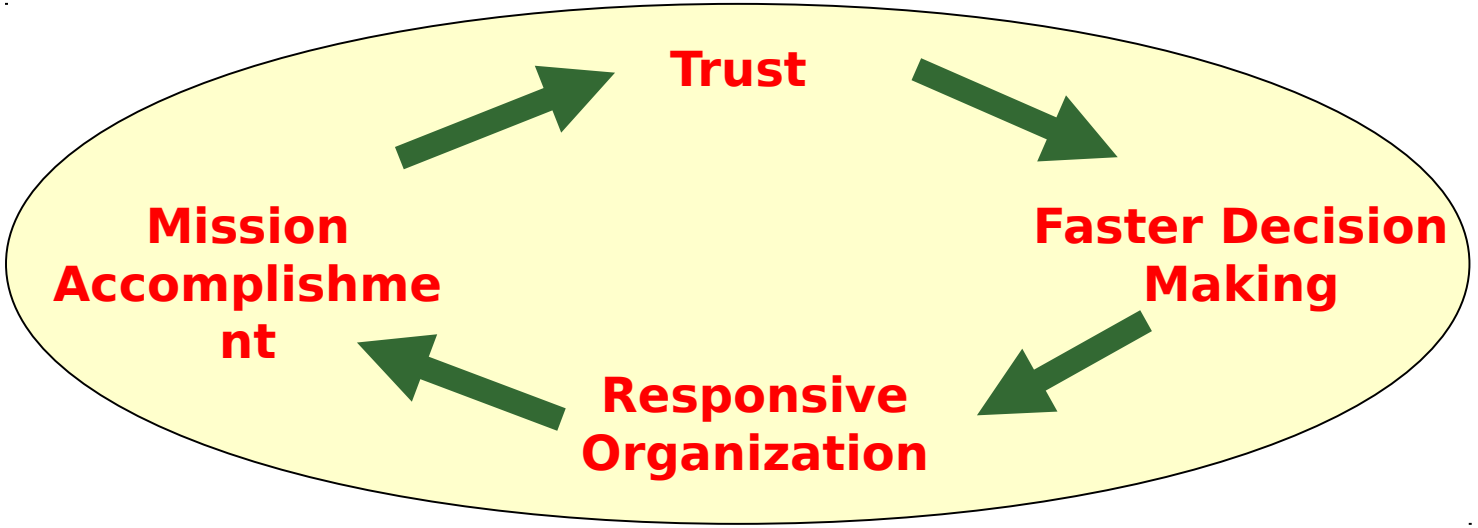
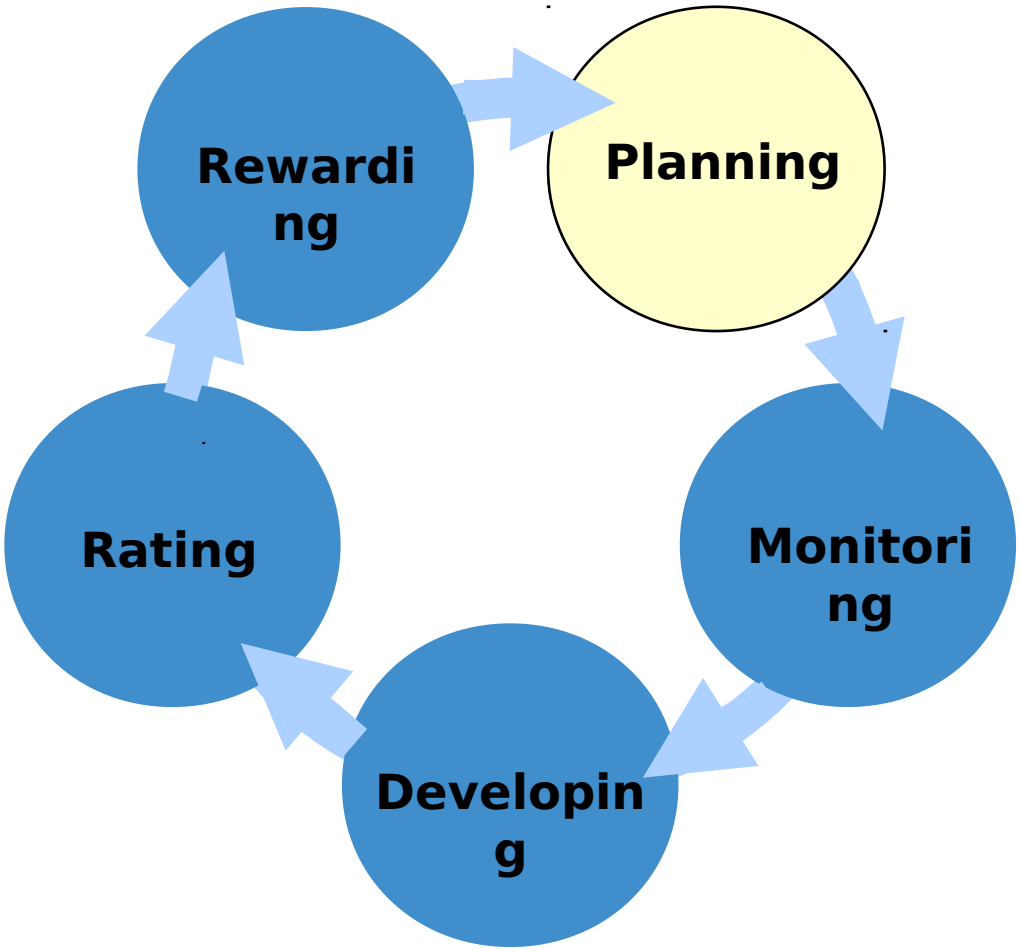
NSPS as a Leadership Tool



Trust is built through communications and alignment

- The leader trusts that subordinates understand and will carry out organizational goals
- Subordinates trust that they will be supported by the leader when they exercise their initiative in achieving those goals

Five Phases of Performance Management



Employee Responsibilities

Employees are encouraged to:

- Participate in development of job objectives and identify associated contributing factors
- Identify and record their accomplishments
- Participate in interim reviews and the end-of-year assessments, including the self-assessment
- Understand the link between their performance expectations and conduct, and organization mission and goals

Rater Responsibilities

- Ensure employees attend performance management training
- **Develop job objectives aligned to mission objectives and identify contributing factors**
- **Communicate performance expectations to employees** and hold them accountable for achieving them
- Provide employee feedback—at least one interim review
- Foster and reward excellent performance
- Address poor performance
- Make meaningful performance distinctions among employees
- Recommend ratings, share assignments, and payout distribution

Higher Level Reviewer Responsibilities

- Be involved in the performance management process throughout the rating period
- Ensure organizational goals are communicated to subordinate supervisors and employees
- Ensure equitable and consistent application of, and compliance with, performance management requirements by all subordinate raters
- Confer with subordinate raters and consider recommended ratings, share assignments, and payout prior to pay pool process

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NSPS Requirements for Job Objectives

- Job objectives must be linked to mission ‘line of sight’
- 3 to 5 key responsibilities must be captured as job objectives to define performance expectations
- Supervisors must have one supervisory job objective
- Job objectives must be SMART and aligned to salary and pay band
- Contributing factors must be selected for each job objective
- Job objectives are weighted

Supervisor Expectations

- Communicate expectations and hold employees responsible for performance
- Make meaningful performance distinctions among employees
- Foster and reward excellent performance
- Address poor performance
- Ensure that employees are assigned a rating of record when required
- Follow merit-systems principles, personnel practices, and equal employment opportunity

Job Objectives are not Task Descriptions

Job Objective:

- Focuses on the results and contribution
- Describes "what" the person will accomplish
- Employee responsible for outcome

Task Description:

- Focuses on the activities or tasks completed
- Describes "how" the person will do the work
- Manager ultimately responsible for outcome

SMART Job Objectives Include Five Components

SMART is a framework for developing (and evaluating) job objectives

Specific

Measurable

Aligned

Realistic/Relevant

Timed

SMART Job Objectives Are Specific

- Define an observable action, behavior, or achievement
- Link to a level of performance, frequency, percentage, or other number
- Are specific regarding the description of the result (not the activities to achieve that result)

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Example of “Specific” Objectives

Provides accurate and timely advice and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days, *for more complex situations an initial response should be given* in 5 – 7 business days and updated until resolved. *Provides responses to questions and inquiries covering a variety of policies and directives that require the* correct application of accounting principals, theories, concepts and practices *to financial processes to produce* accurate results and meet legal requirements.

SMART Job Objectives Are

- Provide a method to allow tracking, recording, and validation of quality of a specific behavior, action, or outcome

- Define:
  - Quantity (how many)
  - Time (how long)
  - Quality (how good)
  - Resources (how much)

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Measurable Example

Provides *accurate and timely advice* and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries *in 5 – 7 business days*, for more complex situations an initial response should be given *in 5 – 7 business days and updated until resolved.* Provides responses to questions and inquiries covering a variety of policies and directives that require the *correct application of accounting principals, theories, concepts and practices* to financial processes to produce *accurate results and meet legal requirements.*

SMART Job Objectives Are Aligned

- Line of sight is drawn between the employee's work, unit's goal, and the organization's mission
- Objectives ensure all are working toward shared goals
- All objectives in the organization pull in the same direction
- Managers/supervisors need understanding of their own objectives before they can work with their employees to establish theirs

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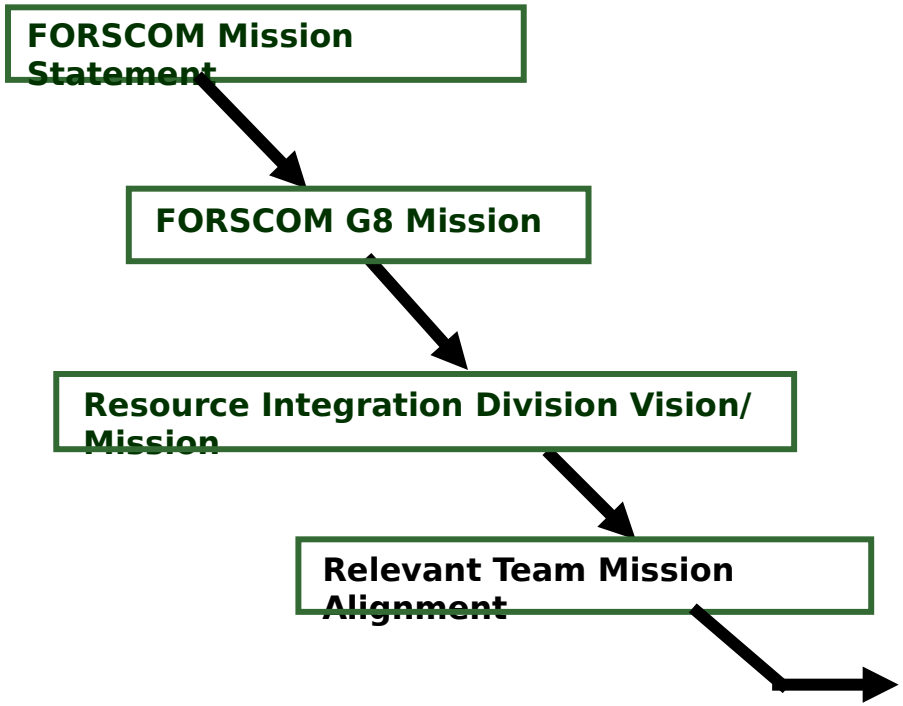
Aligned Example



Aligned Job Objective

Provides accurate and timely advice and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in less than 7 business days, for more complex situations an initial response should be given within 7 business days and updated until resolved. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

SMART Job Objectives Are Realistic/ Relevant

- Realistic: Objectives achievable with the resources and personnel available, and within the available time
- Relevant: Objectives important to the employee & organization
- Responsibility must be appropriate to employee's salary

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Relevant Examples

- Pay Band 2 – $40,000 – Under limited supervision provides accurate and timely advice and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

- Pay Band 2 – $60,000 – Provides accurate and timely advice and guidance on an “as needed basis” to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days, for more complex situations an initial response should be given in 5 – 7 business days and updated until resolved. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements.

SMART Job Objectives Are Timed

- Established start and/or end dates are defined
- Specific dates (e.g., March 15) are preferred over relative descriptions of time (e.g., 6 months)
- Milestones can be included

Examples:

- Specific Time – by December 10
- Relative to another event – 6 months after…
- Recurring – quarterly, bi-weekly

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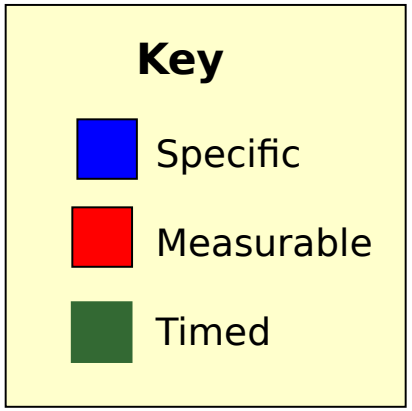
Timed Example

Provides accurate and timely advice and guidance on an "*as needed basis*" to headquarters staff and managerial accountants in the field – resolving normal issues/inquiries in 5 – 7 business days, for more complex situations an initial response should be given in 5 – 7 business days and updated until resolved. Provides responses to questions and inquiries covering a variety of policies and directives that require the correct application of accounting principals, theories, concepts and practices to financial processes to produce accurate results and meet legal requirements

SMART Job Objectives Example

- Install 150 new computers in the DA Field Office in Arlington, VA and have the installation accomplished during the last two weeks of September. Ensure that the DA Form 3161 issuing the new computer to the PC user is signed by the user and forwarded to the Property Book Officer in 2 – 3 working days of signature

Note: Both timed and measurable also reflect realistic



Using Performance Indicators

- These provide the basis for judging performance at the end of the performance cycle when rating objectives
- Descriptions of Level 3 and 5 performance for different pay schedules and pay bands are included in Attachment I
- When writing objectives, use performance indicators to describe Level 3 performance

Job Objective Ratings

RATING	DESCRIPTORS
5	Employee exceeded the assigned job objective at a level of performance equal to, or above, the Level 5 performance indicator
4	Employee exceeded the assigned job objective at a level of performance above the Level 3 performance indicator but below the Level 5 performance indicator
3	Employee met the assigned job objective at a level of performance equal to Level 3 performance indicator
2	Employee met the assigned job objective at a level of performance below the Level 3 performance indicator or needed guidance and assistance beyond that described in the Level 3 performance indicator
1	Employee failed to achieve the assigned job objective or failed in the performance of a single assignment where such failure had a significant negative impact on accomplishment of the mission or where a single failure resulted in or could result in death, injury, breach of security, or great monetary loss
NR	Employee did not have an opportunity to perform the job objective because it became obsolete or could not be accomplished due to extenuating circumstances.

Selecting Contributing Factors

- Define sets of work behaviors that are related to and impact the performance of a job objective
- Contribute to how the job objectives are accomplished
- Affect the rating process

- Technical Proficiency
- Critical Thinking
- Cooperation and Teamwork
- Communication
- Customer Focus
- Resource Management
- Leadership

Rating Effect

+1
Enhanced

0
Expected

-1
Below Expected

Weighting Job Objectives

- Each objective may be weighted to indicate importance and effort
- Weighting is entered as a percentage in increments of 5%
- At the end of the performance cycle, the percentages are multiplied to the individual objectives' rating to produce the overall performance rating
- If values aren't entered, all objectives are weighted equally

- Job Objective 1 — 35 percent
- Job Objective 2 — 20 percent
- Job Objective 3 — 15 percent
- Job Objective 4 — 15 percent
- Job Objective 5 — 15 percent
- Total Weighting = 100 percent

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Develop SMART Job Objectives Activity

- Select organizational goals for the employee's job objectives to align to
- Write two job objectives for an employee
- Select contributing factors
- Determine weighting
- Use reference guide to complete activity
- Use worksheet to document the performance plan contents

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- **Collaborative Review of Job Objective - Activity**
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Communicate SMART Objectives

- Collaborate with another participant to review, revise, and finalize SMART job objectives
  - Activity is done in pairs
  - Review and critique each other's performance plans through a role play

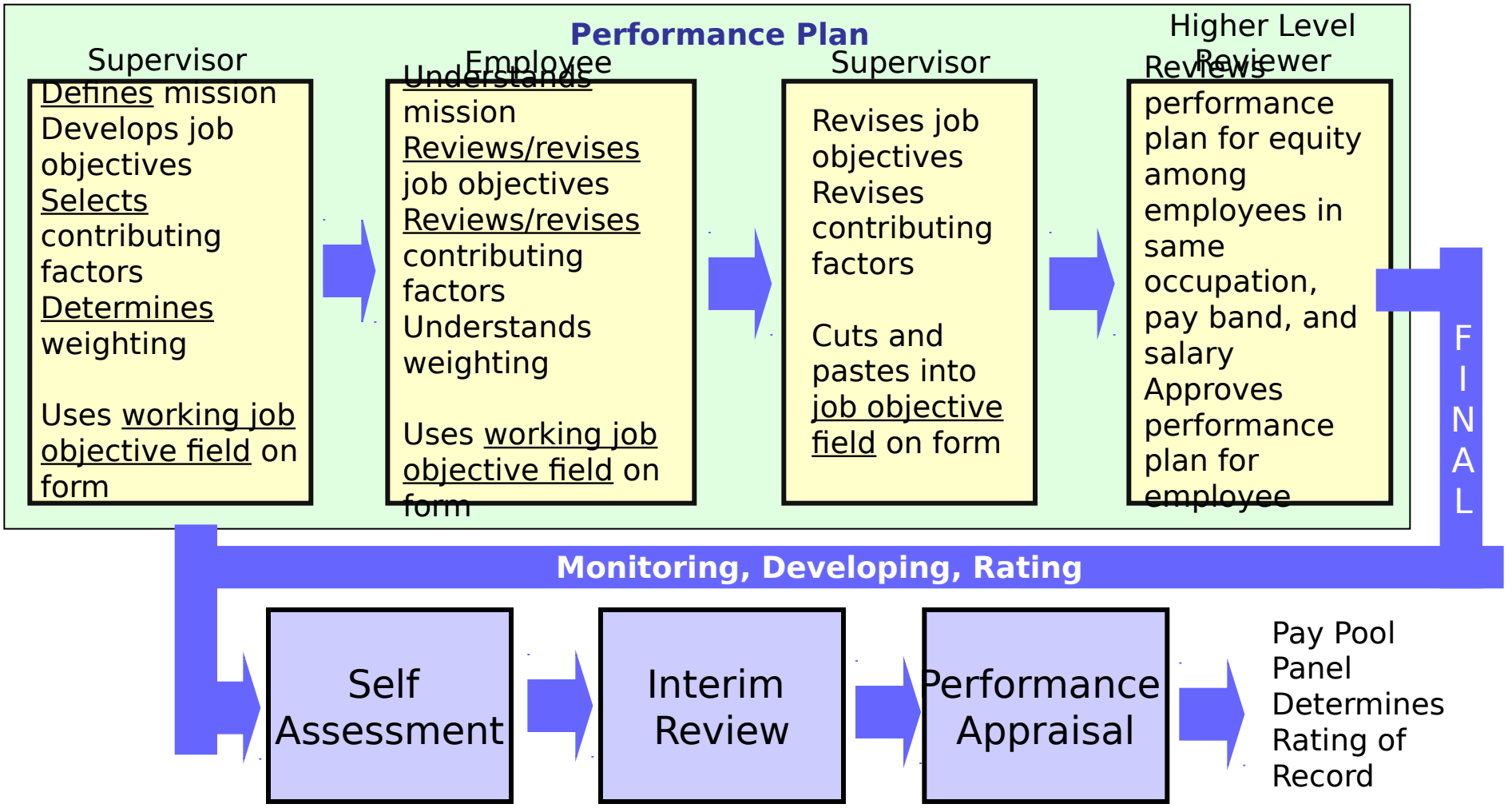
Performance Discussion

- Review organizational goals
- Discuss employee's job objectives – are they SMART? Are they realistic and relevant? Is the alignment clear?
- Review selected contributing factors
- Discuss weighting
- Determine if changes need to be made to the performance plan, document changes

Consider These Questions When Reviewing Plan

- Are the job objectives vague?
- Can the job objectives be measured or verified?
- Are the job objectives too complex or unnecessarily long?
- Does each job objective have a timeline?
- Do the job objectives emphasize appropriate aspects of the work?
- Are there too many or too few job objectives?

Performance Appraisal Application Process



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Importance of the Supervisor

- Role you play as a supervisor is critical
- It is important to involve your employee in the development of the job objectives and the overall performance plan
- Ultimately, you are responsible for ensuring that the performance plan is complete and the employee is committed
- Sharing what you have learned with others can support a successful implementation of NSPS

Managing Performance

- Capturing performance
  - Supervisors and employees may use automated tools (interim review assessment, self-assessment, etc.)
- Adjusting objectives
  - Keep objectives accurate
  - May add, delete, or modify
  - Must discuss with employee
  - Must be able to accomplish within remaining rating period

Performance Management Checklist for Conversion

- Closeout TAPES—final rating of record, awards
- Have performance plans in place for interim TAPES period
- Consider appropriate awards for interim period
- Establish performance management rating hierarchy
- Identify organizational strategic goals/objectives
- Have NSPS performance plans in place (DD Form 2906 hard copy with all signatures) before conversion date
- Complete automated Performance Plan, in My Workplace, after conversion

Workshop Closing

- Please complete evaluation to provide feedback on workshop effectiveness and facilitator effectiveness
- If you have questions regarding writing SMART job objectives, please contact your CPAC Representative